



INSTRUCTION MANUAL  

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Data Collection

PART

**15b**

# **HANES II**

## **Field Staff Operations**

## **Manual for the Health and Nutrition Examination Survey, 1976-1979**

U.S. DEPARTMENT OF  
HEALTH, EDUCATION, AND WELFARE  
Public Health Service  
Health Resources Administration



# CONTENTS

	Page
Chapter I. Advance Arrangements .....	1
Office and Health Examination Center Arrangements .....	1
Miscellaneous Arrangements .....	2
Chapter II. Setting Up the Stand .....	4
Opening the Office .....	4
Office Operations .....	4
Assembling Health Examination Center .....	8
Preparing Health Examination Center for Operation .....	10
Chapter III. Closing Out the Stand .....	11
Records Transmittal .....	11
Equipment .....	11
Tearing Down HEC .....	13
Chapter IV. Personnel and Administrative Procedures .....	15
Working Hours .....	15
Travel and Leave Requirements .....	16
Time and Leave Records .....	18
Chapter V. The Role of the HER .....	20
General .....	20
Preparation for Interviewing .....	21
The Household Interview .....	21
Persuasion Techniques .....	21
Quality Control .....	24
Chapter VI. Purchasing and Finance .....	25
General .....	25
Petty Cash .....	25
Emergency Purchase Orders .....	26
Request for Purchase Order From Headquarters .....	27
Chapter VII. Publicity .....	28
Printed Publicity Items .....	28
Miscellaneous Publicity .....	28
Chapter VIII. Reports .....	30

# CHAPTER I. ADVANCE ARRANGEMENTS

## OFFICE AND HEALTH EXAMINATION CENTER ARRANGEMENTS

*General* - About 4 to 6 weeks prior to the start of a stand, one of the Field Operations Managers (FOM) will visit the area to make arrangements for the Field Management Office and the Health Examination Center (HEC) and confirm prior arrangements with local officials.

Since the FOM making advance arrangements will not necessarily be the FOM in charge of the stand, he should make every effort to complete all arrangements and leave as little as possible for followup or confirmation.

*Prior visits* - Before the FOM visits a location an advance contact such as a personal visit, telephone call and/or mail will have been made with the various State and local health departments, medical organizations and societies, and the State education authorities. Pertinent information from these contacts, i.e., persons to see, suggestions for the HEC site, etc., will be made available to the FOM before he goes into the community.

*Material needed for advance arrangements* - The following materials are needed for advance arrangements.

1. Copies of trailer specifications for electricity, plumbing, and sewerage
2. Copies of contractual agreements
3. Brochures explaining program
4. Pictures of trailers
5. Map and Bureau of the Census reports showing segment locations
6. Schedule of operations for the stand
7. HER Schedule - For Vehicles
8. Living accommodations form

*Selection of site for examining center* - The FOM should spend the first day at the location looking for possible sites. If he is unable to find anything, contacts with the local health department, school officials, and local police department will usually yield results. Since he will be contacting these people in the course of his visit to explain the program and obtain their support, the visit can serve a dual purpose. The following items should be considered in selecting the HEC site:

1. Location of segments and transportation arteries
2. Proximity to power, water, and sewer connections
3. Community attitude toward location
4. Reasonable freedom from noise and/or excessive vibration
5. Availability of living accommodations for staff within a reasonable distance. (While this is somewhat unusual, it has been a factor in determining where the HEC was located.)

A minimum of 50' by 50' is required to accommodate the trailers. This should be as level as possible, but with no more than a 24" slope from front to rear, preferably paved (but not necessarily) and easily accessible to three tractor-trailer combinations. Additional space should be available for staff parking.

Prior to signing the agreement for rental of the HEC site, the FOM should contact the local power company, a plumber, and an electrician to insure that there are no insurmountable difficulties in providing services, such as excessive cost, local ordinances, etc.

*Selection of field management office* - The Field Management Office should be as close to the Health Examination Center as possible. Ordinarily, the person or persons supplying the site for the HEC will also rent office space, or be aware of available office space nearby. In any case, the FOM will find it useful to arrange for the office and HEC site at the same time.

The office should be large enough to accommodate and include a minimum of three desks, two 60-inch tables, ten chairs, a file cabinet and a heavy safe. When furniture cannot be supplied, the FOM should make arrangements to rent furniture. The FOM should also bear in mind that while Census training space is usually arranged for by the Census supervisor, the interviewers will turn their work in at the Field Management Office. The 60-inch table used by Health Examination Representatives (HER's) can be used by the Census supervisor during the first week, prior to HER arrival.

When drawing up the agreement for rental of office space, the FOM should be sure to include any special arrangements such as provision of furniture, installation of phones, acceptance of mail and packages that arrive in advance of the beginning date of the stand, etc.

## MISCELLANEOUS ARRANGEMENTS

*Public utility* - Since there is usually only one public utility available in a location, the FOM must accept the cost estimate given him. Ordinarily the cost of mounting a transformer on an existing pole plus the cost of power consumed fall within reasonable limits. The cost rises considerably when a pole has to be set. Sometimes, of course, setting a pole is unavoidable. However, the FOM should make every effort to select a site that makes use of an existing pole.

Where the services of a public utility are required, acceptance of a flat rate for power consumed is preferable, since this makes it easier for headquarters to obligate funds. Often, however, utility companies require metering the service, so the FOM should be sure to note on the agreement form that the cost estimate does not include power consumed.

In some instances, power may be supplied directly by the person renting the HEC site from existing transformers such as in a hospital or school. In these cases, cost of power will be included in the agreement covering rental of the HEC site under other costs, and the local power company would not be involved. This is desirable but the FOM must be certain that there is sufficient power to meet HEC requirements.

*Electrical and plumbing services* - The FOM should give the electrician a copy of the diagram of the electrical agreement for the HEC and the plumber should be given copies of the diagrams for water and drainage systems. In addition, both contractors should be fully apprised of the complexity of these systems as well as the necessity for setting them up and taking them down on the dates specified in the agreements. The contractor should also be aware of the need for complying with local regulations and ordinances, obtaining any required permits, and testing to see that all equipment is functioning after hookup.

*Telephone service* - Where possible, telephone arrangements should be made with the local manager of the company or, in large cities, with the Government Services representative. It is very important that the telephone numbers be assigned at the time the agreement is signed since these are needed by the Washington office for stand preparations. When the estimate is given, the FOM should add \$500 to it. This figure is the average amount of money spent by the Health Examination Survey for long-distance and toll calls at a stand.

*Automobile rental* - GSA cars must be used whenever possible. This may necessitate picking up cars in cities other than the one in which the stand is located. The FOM should make arrangements with the nearest GSA motor pool.

When GSA cars are not available, the FOM should ask the representative at the GSA motor pool if they have arrangements with a commercial source. The FOM may then enter into an agreement with this commercial rental agency.

*Transportation service* - Usually Taxi companies are the best source. The FOM should first verify that the company can provide enough vehicles and drivers for up to 20 round trips daily, and that local ordinances do not prevent them from going to any part of the sample area. Rates will vary depending on the locality but are usually based on the number of miles to be traveled.

*Express Mail Service* - FOM should contact the post office to determine the nearest branch offering Express Mail Service (EMS) to our delivery points (Atlanta, Ga. and Washington, D.C.) for blood and urine shipments. Regular EMS service, if available, will best accomplish timely delivery of specimen shippers. If EMS is not available, FOM should determine what alternate method will guarantee delivery within two days after mailing.

*Typewriter rental* - Two long-carriage electric typewriters are required and arrangements should be made to pay for these with an Emergency Purchase Order.

*Clerical help* - Depending on the size of the stand, arrangements should be made for at least one full time clerk for the entire stand and one part time clerk for the first two weeks of the stand. In locations where clerical services are available through private companies, the FOM should obtain these services using the Miscellaneous Agreement Form. In small towns, FOM should attempt to locate interested persons who can apply for work once the stand opens and be paid from the petty cash fund.

*Safe* - In order to comply with regulations governing maintenance of the cashier fund, the FOM must rent a safe for the field management office. In locations where a safe is not available, FOM should indicate the reasons in his written report.

*Signing of agreement forms* - In drawing up agreement forms for the various services to be provided, the FOM should insure that costs stay within reasonable limits, except in unusual circumstances. While he is not required to obtain more than one estimate, a little bargaining can be useful in lowering costs. Any unusual costs should be cleared through headquarters before agreements are signed. The FOM should call attention to the fact that each contractor must submit an ITEMIZED INVOICE to Washington after his services have been completed. Small contractors may wish to submit more than one invoice, i.e., weekly in the case of transportation companies and after setup and removal in the case of plumbers and electricians. Such arrangements should be spelled out in the contractual agreement form.

*Living accommodations* - After the field management office and HEC locations have been determined, the FOM should inquire into rates and availability of nearby hotels and motels. The number of visits will, of course, vary with the type of area, but the FOM should try to list at least five places for the field staff to choose from. The "Living Accommodations" form is used for this purpose.

*Reporting to headquarters* - As soon as the HEC and office addresses and telephone numbers are established, the information should be telephoned to headquarters. This allows for quick publication of the bulletin to field staff giving advance information for the next stand.

Upon completion of arrangements, the FOM should submit a written report to headquarters covering all the pertinent details, pinpointing any problems or doubtful areas, and including the following:

1. One copy of all signed contractual agreements
2. Sketch of location of Health Examination Center showing water, sewer, and power connections and identifying streets and access to the site. Field Management Office should also be shown if nearby.
3. One copy of the accommodations for each hotel or motel
4. Any maps or directories obtained
5. List of organizations and persons to be sent protective letters. (The FOM will have developed this list in the course of contacts)

## CHAPTER II. SETTING UP THE STAND

### OPENING THE OFFICE

The FOM and the Field Management Assistant (FMA) will arrive at the stand location on the Friday before Census interviewing begins to open the Field Management Office. On that day, telephones should be installed (if this has not already been done) and typewriters and any necessary furniture obtained. Office supplies and forms (sent from headquarters in advance) should be unpacked and organized for operation. The FOM should contact the local Census field office to verify where and when the Census interviewers will be trained.

The FOM should attend the Census Training Session which is usually held on the first Monday of operations. This is the best time to point out any practices which occurred at the previous stand that should not occur again, e.g., incorrect listing or sampling of sample persons (SP's) omitted entirely, unclear handwriting, etc.

During the first part of the week, the FOM will concern himself with verifying contractual arrangements for the HEC setup, hiring local laborers for setup and cleaning trailers, arranging for four "dry runs" for training purposes, contacting community action groups who may be of help in persuasion or in accompanying examinees to the HEC.

Other items for the FOM to check on during the first week are:

1. Arrival of audiometers
2. Arrival of medical supplies
3. Source and arrangements for delivery of dry ice.
4. Check cashing service at a convenient bank and banking hours
5. Express Mail Service (for blood shipments)
6. Detailed maps for HER's
7. Post Office location and hours

*Field management assistant* - On Monday of Census Week, FMA will interview and explain office procedures to the part-time help which will have been arranged for by the FOM during advance arrangements. In addition, one HER will be available during Census Week to show the film strip at the Census Meeting and to assist with taking telephone calls, reviewing questionnaires and handling the large volume of paper work. Whenever possible, the FOM is expected to assist with office work. FMA should also verify that there is an adequate supply of forms necessary for the operation of the stand and order from headquarters any that are not in sufficient supply. Once the office files are set up, the FMA should begin stamping return addresses on envelopes and appointment slips.

### OFFICE OPERATIONS

*Making Appointments* - Census interviewers will telephone appointments to the office from sample households. Insofar as possible attempt to schedule 7 persons for the first hour of each session

and 3 persons (6 mos. - 19 yrs. only) 1 hour and 15 minutes later. In the morning session only 6 of the 7 persons scheduled for the first hour should be GTT SPs. In the afternoon and evening sessions it is preferred that all 7 persons be adults (20-74 yrs.) however, persons 6 mos.-19 yrs. may be scheduled in the first hour of any session. All persons 20-74 yrs. must be scheduled at the start of any session.

*Preparation of the Master List* - When an appointment is called in, first ask the age of the sample person. For persons 19 and under, select and draw a line through the appropriate sample number from the "Roster of Sample Numbers" and enter it on the master list. Give the sample number to the Census interviewer and obtain and enter on the master list the name-age-sex-race (ask if race is "1" (white), "2" (black), or "3" (other) and segment-serial-line number. Enter date and time of appointment in appropriate column of master list. Determine transportation requirements and enter in appropriate column "S" if the sample person is driving himself, "T" if he requires a taxi, or HER if one is required to transport. Any unusual information (such as SP is excessively overweight or is an invalid or requires an interpreter) given by Census interviewer should be noted briefly on the master list for later verification.

*Selecting the Glucose Tolerance Test (GTT) Sample* - If the SP is between 20 and 74 years of age, first determine if the SP is to receive the GTT by entering the appropriate sample number on the GTT worksheet. SP's who fall in the *unshaded* area are part of the GTT sample and are assigned a number in the 600 series. Enter the number plus the name-age-sex, and segment-serial-line number on the master list. GTT sample persons must be scheduled in the morning session. Before attempting to schedule for morning, ask if SP takes *insulin shots*. If yes, the SP though still part of the GTT sample, will not receive the GTT and may be scheduled at any time. For those in the GTT sample who take insulin shots, write the letter "D" (for diabetic) after the sample number on the GTT worksheet and attempt to schedule for the afternoon or evening. If an SP falls into the GTT sample but refuses to take it, write the letter "R" (for refusal) after the sample number on the GTT worksheet and attempt to schedule for afternoon.

*Selecting the Liver Function Test Sample* - SP's who fall in the *shaded* areas on the GTT worksheet will receive the Liver Function Test, IF THEY ARE 35 YEARS OLD OR OVER.

Assign a sample number in the 400 series and enter the number plus the name-age-sex, and segment-serial-line number on the master list and attempt to schedule for afternoon or evening. For those persons who are between 20 and 34 years old, draw a red line through the sample number on the GTT worksheet.

*Preparation of Master Appointment Schedule (HRA-61)* - As soon as the appointment is made, enter the last three digits of the sample number in the appropriate block on the Master Appointment Schedule. Since sample numbers will be assigned by part-time help taking telephone calls, each morning, verify that correct sample numbers have been chosen for each age group and that all sample numbers used that evening are in the proper slot on the Master Appointment Schedule.

*Review of Census Work* - Since sample selection is based on household composition, completed household questionnaires will be turned in daily whether or not the segment is completed. Remove Type A's, B's, C's, non EP and non SP households and verify these with the Census Supervisors report form. Verify ages in SP households and check the accuracy of the sample selection on page 2 of the Census questionnaire. In reviewing the questionnaire for accuracy and completeness, remember that page 3 is to be completed for the head of the household regardless of whether or not he is a sample person. Thereafter, pages 4 and 5 will be completed for sample persons only. After review, enter the sample number in the appropriate blocks.

Medical Histories will be reviewed later by HER's for accuracy and completeness. At this point, however, review Medical Histories to verify that the date and time of appointment (shown on the front) coincides with the date and time on the master list. Also at this time, write the sample number in the upper right corner of the Authorization to Send Results, enter the address of the SP on the top of the Medical History, verify question 31c as to insulin shots, and assign sample numbers to refusals and enter these on the master list.

Any discrepancies between Census tally and our tally of Type A's, B's, C's, non EP and non SP households should be brought to the attention of the Census Supervisor daily and our copy of the report form corrected. Instances of wrong sample selection should likewise be reported. This applies not only to SP Households but also to non EP and non SP households. When the wrong person has been selected, the household questionnaire should be returned to Census for follow back. If Census has left, FOM will assign the case to an HER for callback and the incorrectly chosen person will be examined as a surplus, if necessary. In the event a person under 20 is put into the GTT sample, simply draw a red line through the number on the GTT worksheet and advise the SP by telephone or through an HER.

*Preparation of the HRA-51-1* - The HRA-51-1 is a five part form consisting of two reminder notices (one with GTT instructions and one without); a duplicate yellow; HER record of calls; and control card. Daily, after Census work has been reviewed and verified, remove the "not to be used" reminder notice and on the remaining copies type the name, address, telephone number, segment-serial-line number and sample number. On the control card portion of the HRA-51-1, enter the day, date and time of appointment, (verifying this against the day, date and time of appointment on the Medical History) transportation requirements and check the appropriate block under remarks for GTT, Liver Function or neither. Since the control card is used to prepare the Daily Appointment Schedule, the "neither" block should be checked for persons who take insulin, persons who refuse the GTT, persons between 20 and 34 years old selected for liver function and persons 19 years old and under. For 6 to 11 year olds, enter the name and address of school they attend under remarks. This information is on page 16 of the Medical History—6 mos. to 11 years.

*The remainder of the Control Card is coded as follows:*

*Before Examination*

- Block 1 Age and Date of Birth
- Block 2 Race and Sex
- Block 3 Code 1 for Census Appointment; Code 2 for refusal
- Block 6 Code 1 if Medical History Completed; leave blank if not completed (Code 2 if never obtained)
- Block 7 Code 1 if Authorization to Send Results is signed; leave blank if not signed
- Block 8 Code 0 if SP is an adult (18 years or over) Code 1 if Authorization to Examine a Minor is signed; leave blank if not signed (Code 2 if never obtained)

*After Examination*

- Block 4 Code 1 if SP is examined on Census appointment
- Block 5 Enter date examined (leave blank if never examined)
- Block 7 Code 1 if Authorization to Send Results is signed in trailers; Code 2 if never obtained

Daily after the appointment for examination has been typed and the control cards coded, verify information obtained on the control card with that shown on the master list by placing a check on the master list. Verify the day, date and time of appointment with that shown on the Master Appointment Schedule by placing a red dot beside the sample number on the Master Appointment Schedule. File the appointment form daily in sample number order.

At the end of Census week, when all work has been typed, coded and verified, separate and file the four part form as follows:

Reminder Notice (white)	Sample Number Order
Duplicate (yellow)	Alphabetic Order
HER Record of Calls (green)	Segment-Serial-Line Number Order
Control Card	Sample Number Order



At this point the master list should be typed from the pencil copy in sample order number and proofed by two persons so that there are, in effect, five master lists in the five separate number series, 001, 100, 300, 400 and 600.

*Preparation of Forms for the Health Examination Center* - Place the following forms in manila folders and file by sample number:

Household Questionnaire (HES-30)	All SP's
Medical History (HES-31 or HES-32)	All SP's
Dietary 24 hour Recall and Frequency (HRA-12-16)	All SP's
Health History Supplement (HRA-11-2)	12 to 74 years
Dietary Supplement (HRA-11-3)	12 to 74 years
Behavior Questionnaire (HRA-11-4)	25 to 74 years

*Review of Medical Histories* - FOM will prepare a roster for HER's to review the Medical Histories for completeness and accuracy. On the day before the first examinees are scheduled and each day thereafter, FMA will give the Histories plus the examination packet to the designated HER for review for accuracy and completeness. HER's will fill in identifying information on forms in the examinee packet. HER's will note errors and/or omissions on a 3 x 5 slip of paper and clip it to the front of the Medical History. At this time HER's will also review Household Questionnaires for accuracy and completeness. Errors and/or omissions will also be noted on 3 x 5 paper and brought to the attention of the FMA who will get information from SP through the Coordinator. If SP is a minor or doesn't know information, HER will telephone household for the information.

*Telephone reminder* - The HER reviewing questionnaires and histories for a given day will also call to remind the SP's of their appointed examination time and impress upon them the importance of keeping the appointment. This will be a good time to confirm transportation arrangements and remind them of dietary restrictions.

*HER Assignments* - Census refusals will be turned over to the FOM for assignment to HER's as soon as these are received and recorded on the master list. Enter HER's initials in Block 13 of the control card and date assigned in Block 14. HER's will need both the Household Questionnaire and the Medical History if this has been completed. In addition, HER's will need the following:

Segment Folder	Brochures
Flashcard Booklet	Appointment Slip

*Type A Households* - List Type A Households on the Type A List (HRA-12-27) before FOM assigns them to HER's. Verify that the list agrees with the number of Type A Households turned over by the Census Supervisor. With these assignments, include all items shown in preceding paragraph plus blank medical histories, census questionnaires and consent forms.

*Broken Appointments* - Cancellations and No Shows will be listed on the Broken Appointments Form (HRA-121) and assigned to HER's as soon as possible. SP's who call the office to change an appointment time are not to be considered cancellations and should not be included on the list. Assignments of cases will be made by the FOM. Code Broken Appointments on the control card as follows:

- |          |   |
|----------|---|
| Block 4  | Code 2 if SP "No Shows" on Census appointment |
|          | Code 3 if SP "Cancels Census appointment      |
| Block 15 | Code 2 if SP "No Shows" on HER appointment    |
|          | Code 3 if SP "Cancels" HER appointment        |

Blocks 16 through 24 are coded only as the case is assigned to other HER's. A telephone call to an SP is not considered a callback and while this information should appear on the HER Record of Calls, it should not be recorded in Blocks 13 through 24.

*Daily Report of Activities* - Complete the Daily Report of Activities (HRA-56) daily beginning on the second day. The following items require special attention:

- Items 1 and 2 – Figures should not be taken from Master List or from the Census Supervisor's report. Rather, do an actual count of Questionnaires and sample persons after these are turned in by the Census Supervisor.
- Item 3 – Enter Census figures daily from turned in work (rather than Master List) to reduce errors. Once Census work is finished, the figures in 3a should not change unless SP'S are taken out of sample.
- Item 4 – Enter refusal figures when completed work is turned in. These consist of original refusals only and should decrease as HER's begin callbacks.
- Item 5 – Number of Type A Households should decrease as these are converted by HER's, thereby increasing the totals in Items 1, 2, and 3b.

The remaining items are self explanatory. In order to come out with an accurate count at the close of the stand, Item 11 and Item 10 should equal Item 9. Double check by totaling the "1" codes in Block 4 of the control card.

*Scheduling for the Examination* - Four days before the start of examinations, using the Master Appointment Schedule (HRA-61) pull the control cards for those sample persons to be examined on the first day. From the control card, enter on the reminder notice the day, date and time of examination, pickup time, location, etc. and mail to the sample person together with the Dear Participant Letter and the Medication/Vitamin Usage Form (HRA-12-18). Include school excuse where applicable and map locating the Health Examination Center (if one has been prepared) for persons driving themselves.

*Transportation Assignments* - Two days before the first day of examinations, prepare transportation assignments showing examinees name and address, telephone number, and pickup and delivery time. These forms should be sent to the transportation company or given to an HER if an HER has been assigned to the pickup, at least one day before the transportation is required. The transportation company list should include in capital letters "PLEASE CALL FOR EXAMINEES AT THE DOOR."

*Daily Appointment Schedule (HRA-57)* - Enter the required information in the appropriate column paying particular attention to Test Block which will be GTT, Liver Function Test or Neither. Make an original and five (5) copies; retain one (1) in the office and send the rest to the Health Examination Center along with forms shown in paragraph 9, except for the Household Questionnaire.

## ASSEMBLING HEALTH EXAMINATION CENTER

The Health Examination Center is composed of three (3) separate trailers parked parallel to each other and connected by two (2) passageways. The trailers are identified as:

- Unit 1 ---- Reception Trailer
- Unit 2 ---- X-Ray Trailer
- Unit 3 ---- Staff Trailer

Prior to trailer arrival, FOM should chalkline the trailer parking site. This should help to make aligning the trailer a much easier task for the drivers. The separation between trailers at the center of the passageways must be at least 48" and not more than 50". This space between the trailers is

especially important for trailers 2 and 3 because of the critical spacing of the staff entrance steps. Also, doors between trailers should be opened before parking.

*Distance between trailers* - Between 1 and 2 --- Minimum 48"-50" Maximum. Between 2 and 3 --- Minimum 48"-50" Maximum. The three (3) trailers must be parallel and within 2" front to rear. An easy method of aligning is to tape measure distance between jack pads (trailers 1 and 2 & 2 and 3). Distances between outer edges of jack pads should be 56 inches.

*Leveling trailers* - Once the trailers are parallel and the proper distance from each other, leveling of the trailers can be accomplished. Always begin by leveling the trailer which sits upon the highest ground. This trailer will be sitting lowest upon its jacks at the end of the leveling process for the three (3) trailers.

The plumbing system and the passageway connections between trailers require that all three trailers be level and at the same elevation. If the trailers are not leveled, the plumbing system will not drain properly and the passageways will not line up.

Start with the highest trailer. Place a 3' carpenters level on the underside of the pick-up plate at the front of the trailer. Raise the low side of the trailer until the front of the trailer is level from side to side. Due to the rigidity of the frame, the front jack on the high side of the trailer may leave the ground. If this occurs, raise the corner of the trailer which is diagonally opposite the jack which is off the ground. When the front jack is firmly on the ground, continue leveling the front from side to side.

After the front has been leveled from side to side, level the rear from side to side, holding the level on the top of the rear rub rail.

The last step is to level the trailer from front to rear. First, ensure that both front jacks are in low gear. Next, turning both cranks at the same speed, raise or lower the front of the trailer until a level attitude is reached. The best place to use the level during this operation is on top of the rub rail mid-way down the side of the trailer.

Level all three trailers in this manner. Then, bring the lower trailers up to the level of the highest trailer. First, operating the front pair of jacks at the same speed, raise the front of the trailer to the desired height. As this is being done, COUNT the number of turns taken. Raise the rear jacks the same number of turns. It may be necessary to repeat this process several times to bring the trailers to the same level. Note that if all four jacks are not raised an equal number of turns, the trailer will not remain level.

After final positioning and leveling it is necessary to bleed all air from the air tanks so that the trailers will not creep forward. This can be done by pulling the steel lanyard attached to the valve on the bottom of the air tanks and bleeding off all the air. Caution, if the air is not bled from the tanks after jacking, the trailers may lurch forward when returned to "wheels-down" position.

*Passageways* - To set up the passageways, pull each passageway out to meet the adjoining passageway. Once the two passageways are aligned four ¼" bolts are installed along the bottom of the passageway frame. Seal the seam with duct-tape. A three piece cap strip finishes off the connection. The top cap is installed first by slipping down over the top edge and then tightening the two bolts. The side pieces fit up into the top cap and are then secured by tightening the bolts on each piece. A section of flooring (which is stored in the closed passageway or hall) is then placed in the floor hole created when the passageway is extended. The hinged floor panel attached to the passageway can now be lowered completing the set up of the passageway. When tearing down and preparing for shipment the same procedure is used in reverse.

*Personnel access steps and platform* - Mounted below each personnel door on the side of the trailer are two stainless steel keyway receptacles used for attaching the step platform. When setting up the platform insert the two ½ inch diameter studs into the receptacles on the side of the trailer. The galvanized steel pipe legs fit into the sockets on the underside of the platform. The step assembly belts to the platform with three 8/16th" bolts one on each side of the step. There are three handrails provided with each step/platform assembly. To install the handrails simply slip the ends into the sockets located on the sides of the step end of this platform.

*Exterior lighting* - Place exterior floodlights at strategic points on the trailers. Placement depends on lighting conditions of the site, proximity to buildings, etc. This system is equipped with electronic eyes so it is not necessary to turn the system on or off.

*Subsystem installations* - Electrical and plumbing connections are completed by the appropriate contractors. Copies of specifications should be kept on hand in case the contractor has misplaced them between advance arrangements and hook-up.

Note: Before electrical system is energized, FOM should assure that all electronic equipment is unplugged and water heaters are in the off position. The water heaters must be filled with water before electric power switch is turned on.

## **PREPARING HEALTH EXAMINATION CENTER FOR OPERATION**

On staff setup day (as shown on the schedule) all members of the examining team will report to the HEC for the purpose of setting up their areas. This includes preparing the respective areas for the first examinees, and

1. Taking inventory of all medical and administrative supplies
2. Unpacking and inventorying the current shipment of medical and administrative supplies and case records.
3. Making sure all equipment is in working order and calibrated.

The coordinator will notify the FOM regarding any supplies found to be insufficient in number to complete the stand. Malfunctioning equipment should also be reported to the FOM as soon as possible. The inventory list should also be forwarded to headquarters as soon as possible. For instructions regarding actual HEC operation, see Examination Staff Procedures Manual for HANES II.

*Security* - During the course of the stand individual staff members will be responsible for storing and locking portable expensive equipment such as cameras, tape recorders, etc. used during the examination. The coordinator, as the last person to leave the trailers, will check all rooms to see that this has been done and remind staff members in case of noncompliance. The coordinator will also be responsible for making sure that all doors are locked when she leaves. Guard Service for the units, in areas where it is required, will have been arranged for by the FOM.

## CHAPTER III. CLOSING OUT THE STAND

### RECORDS TRANSMITTAL

All HANES data are transmitted from the field in accordance with the following instructions. The data are accounted for on "Record of Transmittal" Form, IIRA-92. The "To" block on HRA-92 will have been filled in by headquarters staff with responsibility for completion resting with the staff listed below by type of record:

<i>TYPE OF RECORD</i>	<i>RESPONSIBLE PERSON</i>	<i>SHIP TO</i>
Examinee Packet-(Case Record, Examined)	Coordinator	Census
Behavior Questionnaire	Coordinator	Census
Control Record (NCR copy only)	Coordinator	Collection & Analysis Linkage Section
Examined Medical History (IES 31 and 32)	Coordinator	Census
Non-Examined Medical History (HES-31 and 32)	FMA	Census
Non-Examined Case Records	Coordinator	Health Examination Field Operations Branch, D.O.
Authorization to Send Results (HRA-53-1)	FMA	Health Examination Field Operations Branch, D.O.
Authorization to Examine Minor	FMA	Health Examination Field Operations Branch, D.O.
Report of Findings	Nurse	Health Examination Field Operations Branch, D.O.
Dry Runs and Surplus (Examinee Packet)	Nurse	Health Examination Field Operations Branch, D.O.
Chest X-rays	Health Technician	Collection & Analysis Linkage Section
Back and Neck X-rays	Health Technician	Collection & Analysis Linkage Section
Dietary Frequency and Recall	Dietary Coordinator	Nutrition Branch
Medication/Vitamin Usage	Dietary Interviewer	Nutrition Branch

<i>TYPE OF RECORD</i>	<i>RESPONSIBLE PERSON</i>	<i>SHIP TO</i>
Dietary Supplement	Dietary Interviewer	Nutrition Branch
ECG (Tracing and Tape)	Health Technician	Collection & Analysis Linkage Section
Impedance Audiometry Tracing	Health Technician	Collection & Analysis Linkage Section
Spirometry (Tracing and Tape)	Health Technician	Collection & Analysis Linkage Section
Height Photos	Health Technician	Collection & Analysis Linkage Section
Health History Supplement	Nurse	Research Triangle Park
Speech Tapes	Health Technician	Collection & Analysis Linkage Section
Laboratory Reporting Forms (pink copy)	Health Technician	Collection & Analysis Linkage Section
Laboratory Worksheet (original and pink copy)	Health Technician	Collection & Analysis Linkage Section

The persons responsible for the various types of records will check the records, making certain that they are in sequential order by sample number, and in the case of X-rays, checking the numbers on the envelopes as well as on the films to make certain they agree. Numbers listed on the record of transmittal for which data are included will be circled. An actual count should be made of each record and a count of the numbers circled. The two must agree. The total number of records transmitted *will be* entered on the form. The FMA will provide the responsible person with the total number of exams. The sample numbers for parts of the exam not done will be entered on the bottom margin of the form. Sample numbers for Dry Runs and Surplus exams may be written in the margin but should not be included in the totals. Staff members are responsible for boxing the records in a manner acceptable for registered mail, with paper tape covering the glass tape.

The FOM will be responsible for shipping, by registered mail, the various records to the addresses shown on the HRA-92. The original transmittal is to be mailed in a separate envelope to the addressee shown on the form with the total number of boxes written at the top of the form. A carbon of all transmittals is to be included in box 1 of each shipment. The second carbon for records going to other destinations is to be sent to the Collection and Analysis Linkage Section. The FOM will release staff members only after it has been determined that all records are listed and ready for mailing.

In addition to the above records there are others to be shipped, by registered mail, to designated places. These will have to be listed on lined paper properly labeled:

1. *Household Questionnaires (HES-30)* - The FMA will have responsibility for listing in triplicate and boxing these for shipment to Census. HES-30 should be listed by PSU, segment, and serial number. The original transmittal is to be mailed in a separate envelope to Census at the address shown on the transmittal. A carbon is to be included in box 1 of each shipment. The second carbon for records going to Census is to be sent to the Collection and Analysis Linkage Section.

2. *Daily Checklist for Audio Technicians* - The Health Technicians will be responsible for boxing these records for shipment to the Collection and Analysis Linkage Section.
3. The FMA will be responsible for boxing the following records for shipment to the Health Examination Field Operations Branch, D.O.:
  - Control Cards, Record of calls, yellow alphabetic copy—(Transmittal should be used here)
  - Daily Report of Activities (HRA-56)
  - Daily Appointment Schedule (HRA-57)
  - Census Reports
  - Master Appointment Schedule (HRA-61)
  - Master List (HRA-12-25)
  - Type A List
  - GTT Worksheet and Roster of Sample Numbers by Age
  - Schedule of Broken Appointments
  - HER Assignment Roster
  - HER Daily Progress Report (HRA-12-20)
  - Transportation Assignments (HRA-55)
  - Household Questionnaires as follows:
    - Type A – Not Converted
    - Type B
    - Type C
    - Interviewed Households Without Sample Persons
    - Segment Folders
4. The Coordinator will be responsible for boxing the following records for shipment to the Health Examination Field Operations Branch, D.O.:
  - Schedule Sheet for Assignment of Technicians to Examinees
  - Duplicates of Audiometry and Body Measurements
  - Replicate Examination Forms
  - Unusual Occurrences Forms

## EQUIPMENT

During the last week, the FOM or the FMA should verify all bills with the transportation company. These bills should be mailed (certified) to headquarters together with the time records at the close of the stand.

The FOM and FMA should make arrangements to return any rented furniture, typewriters, etc., and be sure that the office is left in the same condition as it was when it was opened. In order to avoid delay in payment, all contractors should be informed (again) of how and where to submit invoices.

On the last day, equipment and records that are part of the survey should be filed and boxed for shipment with the trailers. Audiometers are to be sent to Pittsburgh for calibration.

## TEARING DOWN HEC

*Interior* - FOM will transfer permanent files and boxed records and equipment to trailers and mail office and HEC records previously packed.

All furniture and equipment are then secured to wall hooks so that they are immobile during transit. There are three main principles to keep in mind during tear down:

1. Place all movable items on the floor toward the front of the trailers to prevent shifting or tipping over when moving.

2. Be sure that all doors and other suspended items i.e., cabinet drawers, are secured, and all windows closed.
3. Unplug all electronic equipment, and be sure the water has been drained from toilet bowls.

*Exterior* - Remove all outside lights and store in one place in undercompartment.

Dismantle two stairways and store in undercompartments of units 1 and 3.

Prior to locking doors, check trailers to be sure that any part which might swing out in transit is secure.

*Final Steps* - Be sure that all electrical and plumbing have been properly stored in the undercompartments by the contractors.

Check all water heaters to be sure they have been drained and are in the off position.

Lock all undercompartment doors, except first compartment on driver's side, (storage of blocks and cranks).

Inspect trailers to see that there are no protruding parts, i.e., windows.

After hookup, store blocks and cranks in first compartment, lock, and give key to the drivers.

Once drivers have left the *parking area*, they have complete responsibility for getting trailers to the next stand location.



## CHAPTER IV. PERSONNEL AND ADMINISTRATIVE PROCEDURES

This section of the manual sets forth basic administrative and operating policies and procedures for the field operation. Special authorities, which depart substantially from standard Health, Education, and Welfare policy, were negotiated for the Health Examination Field Operations Branch to provide rules which are operationally feasible and yet in compliance with laws and regulations. It is most important that these rules be followed consistently by each member of the field staff. Questions regarding this section or the application of these operating rules should be referred to the FOM.

### WORKING HOURS

*Workweek* - The first 40 hours of work in each week constitute the regular workweek of the field staff. While the usual workweek is Tuesday through Saturday, there will be occasional six day weeks depending on the needs of the program.

*Overtime* - Work beyond 40 hours in each week is considered overtime and is compensated for by time-and-a-half pay. The rate of time-and-a-half prevails through the GS-10 level. Employees above the GS-10 level receive time-and-a-half at the GS-10 level only. Time worked beyond 40 hours in each workweek may also be compensated for by compensatory leave (1 hour leave earned for each hour worked). However, since compensatory leave must be used by the end of the 8th pay period following that in which earned, and since the needs of the program preclude leave except during the Christmas and summer break, compensatory time must be approved by headquarters.

*Approval for overtime* - Since the work schedule of the examining staff is normally geared to the examination schedule, when sign-in, sign-out procedures are followed, any overtime occurring is automatically approved. All other overtime including examining staff overtime resulting from special duty not related to the examination schedule, must be approved in advance by the FOM.

*Work-time reportable for salary* - Time spent in the following kinds of activities is considered work-time reportable for salary for the basic workweek of 40 hours or for overtime or compensatory time:

Time actually spent in performing assigned duties

On-call duty or time when the staff is on hand for work in the place of work (examination center, management office, etc.), as directed by the FOM, but is not actually performing assigned duties due to lack of examinees or other operating circumstances

Official travel time not to exceed 8 hours in any one day (Tuesday through Saturday). Travel time in excess of 8 hours in any one day and travel performed on weekends, or legal Government holidays are not to be included as worktime. If work at a stand and travel are performed on the same day, the total hours of the two may be charged as work hours up to a maximum of 8 hours

Standby time up to 8 hours a day (when work is not scheduled and the individual is not in leave status) is considered work time reportable for salary for the basic workweek; it may not be counted toward overtime when counted as part of the basic workweek, e.g., if you are on

standby Monday and Tuesday (16 hours) then work Wednesday, Thursday, Friday, and Saturday (32 hours), you are paid for a total of 40 hours that week

## TRAVEL AND LEAVE REQUIREMENTS

*Travel Between Stands* - Generally when a staff member is directed to travel from one stand to another, he is in travel status between temporary duty stations and so is in pay status. Field personnel must remain on duty at a stand until released by the FOM. The FOM may not vary the date of departure without Headquarter's approval, but he may determine the time of day that staff members are released.

Travel to the succeeding stand must begin as soon as practicable after release and must be direct and uninterrupted to the next stand. Interrupted or indirect travel between stands may be approved in advance by the FOM in consultation with Headquarters. Plans for such personal travel must be sufficiently firm to permit reporting of authorized travel time, per diem, leave, etc.

Staff will report in person at 9:00 a.m. either at the Field Management Office or the HEC on the date indicated on their schedule unless otherwise instructed by the FOM at the preceding location. Those who fail to appear will be placed on leave and taken off per diem unless there is a legitimate reason for their absence. In the event that staff are unable to report on schedule, they should notify the FOM in advance. In the event that there is no work that day, the FOM may authorize standby status.

Thereafter personnel may report to the FOM by telephone, but in order to qualify for standby status they must be in the area and must be able to appear physically for duty within an hour after being called. Personnel in standby status must telephone individually to the FOM each morning before 9:30 a.m. to determine whether they may remain on standby status or should report for administrative, clerical, or other work. Should a work assignment appear imminent, personnel on standby status may be required to report in more frequently by telephone as directed.

*Leave* - All annual leave, compensatory leave, or leave without pay must be approved by headquarters well in advance. Such leave is granted if operationally feasible, i.e., if the employee's work can be absorbed by other staff members or if a replacement can be sent out from headquarters. Leave, except for the Christmas and summer breaks, therefore, is usually only granted in emergencies. Leave enroute between stands can be arranged more easily than leave during the examining period because there is often some standby time available while the examination center is being set up.

A period of leave without pay must be taken at the Christmas and summer breaks when employees are traveling to their place of appointment at Government expense. The work suspension (or forced leave) is our authority for paying for the travel home. Once home, the employee must go into nonwork status (LWOP) for at least one-third of the total time spent there. Annual or compensatory leave (if the employee has this available) may be taken for the remaining period.

Sick leave may be taken up to 8 hours in any day in which work is scheduled. If an employee works part of the day and goes on sick leave for the remainder of the day, the total number of hours may not exceed 8, even though the employee might have worked more than 8 hours had sick leave not been taken. If the employee becomes ill after he has worked the basic workweek of 40 hours, he does not have to take sick leave. In such cases, the time is simply a nonwork period.

Per diem continues during periods of sick leave. In addition, persons who become ill and must remain under a physician's care or in a hospital after the trailers have left the area continue to receive per diem until they are able to rejoin the staff provided this period does not exceed one month.

*Travel Orders* - Travel orders for field personnel cover travel necessary to meet the schedule and are written monthly. Although travel orders are written in relatively general terms so that they can cover minor variations in the schedule, a travel order is an order and significant variation from the order as written is not permitted. All official changes in itinerary will be authorized by amended travel

orders in advance of the date travel begins, except in rare emergency situations when oral orders from Headquarters must be carried out prior to written amendment. It is the responsibility of the traveler who wishes to change his itinerary for personal convenience to explain his plans fully to the FOM well in advance. If the change is approved, the travel order will be amended, and until the amended travel order is received (or oral approval in case of emergency) the indirect travel may not be performed.

*Advance of funds* - An advance of funds is available to all staff upon entrance on duty to cover travel expenses until reimbursement checks are received. Thereafter, the amount of the advance which may be requested is based upon the length of the period of duty for which the traveler is under orders. Regular field staff may usually apply for a maximum advance of \$720.00 at the Christmas break provided all monies owed from the previous advance have been repaid. Temporary staff may apply for lesser amounts depending on duration of duty. Advances of funds should be repaid in regular installment deductions made from the traveler's monthly vouchers.

*Transportation Requests (GTR's)* - The cost of official travel only may be purchased by the traveler through the use of Government Transportation Request (GTR). GTR's are usually issued from headquarters to cover travel on planes, trains, and buses. The travel points listed on the GTR must always conform to those detailed on the traveler's orders. It is the traveler's responsibility to verify that the GTR conforms in every way with the travel order, travel actually being performed, accommodations actually secured, and that the cost of the tickets purchased, including tax, is entered on the copies. The Buff Copy of the GTR should be returned to Headquarters as soon as the ticket is purchased. No cash is required unless the traveler is going via an approved indirect route. In this case, he must have the carrier issue the direct ticket, void it, and issue a new one showing the indirect route and pay the difference.

*Excess baggage (air)* - In addition to the 2 pieces of luggage permitted with the ticket, a maximum of two additional pieces of luggage is authorized at the expense of the Government. Any baggage beyond four pieces of luggage is at the expense of the traveler and must be paid for in cash.

*Commercial travel* - Reservations for plane or train must always be made well in advance of the departure date. Failure to do so does not justify the use of higher class accommodations than normally authorized.

*Plane Travel* - Less than first-class accommodations constitute the normal class of service. If this is not available, if it requires circuitous routing, or if such flights do not make connections, first-class accommodations may be used. In such cases, there must be a full explanation and certification by the carrier on the copies of the GTR.

*Train travel* - Coach accommodations must be used in trips of 2 hours or less; parlor car accommodations are allowed for trips of more than 2 hours. Lower berths are authorized for overnight travel. If these accommodations are not available, the next higher available accommodations may be used provided proper certification is made on the copies of the GTR.

*Bus travel (is also authorized)* - It is usually paid for in cash by the traveler and claimed when the monthly voucher is submitted. The traveler should get a receipt.

*Private automobile* - Authorization for the use of a private automobile must be specified in the traveler's orders. Travelers using POA are required to drive a minimum of 300 miles a day. Approval to use a private car is granted on an individual basis. At all times the best interests of the program must be the determining factor and, in case of conflict, the needs of the program come first.

Reimbursement is on the following basis:

*\$.15 per mile* - For travel between stands.

*\$.15 per mile* - Official travel when authorized in and around the duty station; between living quarters and place of work up to the amount of public transportation (where available); or when public transportation is not available, at the mileage to the nearest approved living accommodations in the area.

In all cases, the mode of travel selected must allow the traveler to report to his next duty station as scheduled.

*Travel vouchers* - Regular staff are reimbursed for travel on a monthly basis. Accurate and complete information for the voucher must be submitted by the traveler to the FMA on Travel Form A no later than the 23rd of the month. The current travel order, a copy of the previous month's voucher, two copies of the GTR (if used) and any ticket stubs, receipts, etc., must accompany the Travel Form A. The complete typewritten voucher is returned to the traveler for verification and signature and submitted to headquarters no later than the end of the month. Vouchers meeting this schedule should normally be paid around the third week of the following month. However, employees should bear in mind that there is no predictable payment date for vouchers. The traveler should retain his copy of the voucher to verify that he has been paid the correct amount.

The reimbursement voucher must contain the following:

1. All officially authorized travel performed during the month and details of each trip
2. Average daily cost of lodgings for the month
3. Number of daily authorized trips between HEC or Field Management Office and place of residence
4. Annual, compensatory, or leave without pay taken during the month
5. Computation of official duty per diem
6. Listing of miscellaneous allowable expenses claimed
7. Application of a portion of the voucher check toward liquidating any outstanding advance
8. A certification by a signature of the traveler that the voucher information is accurate, complete, and correct in every way

## TIME AND LEAVE RECORDS

*Daily Time and Leave Records* - Each member of the field staff must keep a daily record of time worked on the Administrative Time Record Form. This form is to be kept current at all times and must include an entry for each day the person reported to work as well as each day of travel between stands. Hours during the day during which duty was performed are to be specified in the sign-in-sign-out columns so that lunch and other nonduty periods are not included as work hours.

*Administrative staff* - The work day for the administrative staff is based on individual duties and assignments and consequently there is no regular sign-in-sign-out time for beginning and ending the work day. Actual work hours must be specified and allowance made for portions of the day when no work is performed. Because of the necessity for night work, FOM's, FMA's and HER's should try to plan and pace their activities so that every effort is made to hold the work week to a maximum of 40 hours.

*Examination staff* - The Coordinator, and Health Technicians must report to the Examination Center 30 minutes in advance of the time the examinees are scheduled to arrive and this is to be considered the regular sign-in time. All other staff report 15 minutes before examinee arrival except for the laboratory technicians. Staff who are unavoidably delayed should sign in at their actual arrival time. (The Daily Appointment Schedule, received at the Center a day in advance, indicates the time the examinees are due.) The sign-out time at the close of the day is normally determined by the departing time of the individual staff member. All staff members should check with the coordinator before leaving the HEC. Staff involved in the transportation of examinees or other special duty will determine their in and out times on that basis.

*Biweekly time and leave records* - The Time and Leave Report is to be used by the FOM in reporting time and leave information on a biweekly basis. Each staff member is responsible for seeing that his individual time record is up to date. The FOM is responsible for the proper audit of the daily Time and Leave Report and hence for the accuracy of his consolidated report.

*Between stands time reporting* - The FOM determines that a stand is officially closed when all possible sample persons have been examined and there is no additional administrative, clerical, or other duty to be performed.

At this point the FOM will release the field staff for travel to their next duty assignments. The FOM will then notify headquarters and the FOM at the next location of the date and time of this release. Should individual employees have duties that require their presence at the stand beyond the general release date they should request permission from the FOM. Members of the staff may not remain in the area after the trailers have departed unless they are on sick or annual leave. Once the trailers have left, the area is no longer a duty station and the reason for being there in any official capacity is ended.

As soon as practicable after arriving at the next duty station each employee must report to the Field Management Office to sign in at the new stand and to bring his time sheet up to date by entering actual travel times (including leave enroute if taken) during the intervening period.

## CHAPTER V. THE ROLE OF THE HER

### GENERAL

The Role of the Health Examination Representative (HER) is to explain the survey to sample persons who have refused to make an appointment with the Census Interviewer for one reason or another. In some cases, it is a matter of the sample person's simply not understanding the program or misinterpreting the census interviewer's explanation. In other cases, the sample persons feel that they understand the program but do not want to participate. The Census interviewer's remarks on the household questionnaire are a guide to what the HER may expect on call back. The success of each interview depends to a great extent on the ability of the HER to create a friendly atmosphere of mutual trust and confidence on the first contact. There is no "best" way of establishing this rapport; however, the following guidelines may be useful:

1. Introduce yourself, show your identification and state the purpose of the call. Besides being courteous, the introduction will dispel any suspicion.
2. Attempt to get an interview at the time of the first call. If this is not possible, make definite arrangements to obtain the interview at a later time.
3. Explain how the sample person was chosen. Respondents are often curious, even suspicious, about this and an explanation will usually satisfy them. A brief explanation of the HANES sampling process is given on page 22.
4. Be consistent in explaining the program making sure to cover all aspects and, at the same time, stressing those that you feel will be of most interest to the respondent.
5. Talk to the respondent in language he can understand. The HER must be continuously alert to the danger of "talking down" to sample persons and to using terms which mean one thing to the HER and another to the respondent.
6. Use the film strip during the course of the interview. If used at the beginning it can structure the content of the subsequent discussion. It may also raise questions from the sample person on which the HER can later expand. If used at the close of the interview, it may bring up aspects of the survey that may have been overlooked by the HER and also serve to "clinch" the appointment.

### PREPARATION FOR INTERVIEWING

Using the master segment map, plot assigned segments on your own map for each day's work. Review the Census questionnaires, noting which members of the household are sample persons, their age, sex, education, family income, and any difficulties encountered or comments made by the Census interviewers. Verify that the appropriate histories and forms are included for each household. Check item 15 of the household questionnaire which indicates the time of day the sample person was contacted by the Census interviewer and plan the work accordingly. After plotting the itinerary for the day, obtain a copy of the local newspaper report of the survey, the master appointment schedule, and extra copies of all forms and begin callbacks.

## THE HOUSEHOLD INTERVIEW

Introduce yourself, state that you are the Public Health Service representative and ask “May I come in?” Getting into the household is extremely important because it is difficult to establish rapport through a screen door, on the porch or in a hallway. Once inside, begin the explanation of the program, the length and detail of which will depend on the attitude and behavior of the sample person and how much he knows about the program.

We are authorized to pay examinees \$10.00 to come in for the examination. Use your own discretion regarding the best time in the interview to explain the payment. For example, it may be included in the discussion of transportation:

“There is no charge to you for the examination, we provide transportation to and from the examining center, and to show our appreciation for your cooperation, each examinee will receive \$10.00 as some compensation for the time taken.” Regardless of where in the interview the payment is explained, it must be done before a sample person has indicated refusal of the examination, so that the offer is in no way considered a bribe and because once a negative position has been definitely taken it is harder to change than to prevent it. Stress the following (in your own words as appropriate):

1. Payment is made to express our appreciation for their cooperation in this important research work.
2. Making these payments increases the efficiency of the survey by avoiding cancellations and no shows which require callbacks by HER's, wasted exam times, and increased transportation costs.

Avoid giving any impression that the payment is a form of charity or that sample persons are being paid because of anything hazardous. Do not assume that the money will guarantee an examination. You are expected to explain the program fully stressing the value of the program to medical planning and research, the importance of the sample person to the success of the program and the necessity for keeping the original appointment. The benefit of the examination to the individual, with a report of findings to his physician (or to a clinic if he does not have one), continues to be an important feature of the program which will be the best selling point for some sample persons.

Indicate that sample persons will be paid in cash at the HEC at the conclusion of the examination. For any person under 18, ask the parent or guardian the best method of handling payment and note this on the “Record of Calls”. The “Record of Calls” should contain a brief description of the interview regardless of whether or not the sample person was an “easy appointment”. In addition, any comments regarding payment should be noted.

Once you have obtained the cooperation of the SP, arrange a convenient appointment time for the examination. Once that is established, call the office and get a specific appointment time. Fill in the appointment slip with the designated time, whether transportation will be required, pick up time, etc.

In the event there is no phone in the home, assign the examinee an open time slot from the master appointment schedule; go to the nearest phone and verify it with the Office; then return to the household with the appointment time and leave the appointment slip with the SP. For this purpose, you must bring your copy of the master appointment schedule up to date each day.

## PERSUASION TECHNIQUES

Direct persuasion - There are so many variables in conducting an interview that it is impossible to cover every type of situation with which the HER may be confronted. In case of noncooperation,

however, there are a few “approaches” which are useful once the HER has determined the reason. Some approaches that have proven successful in the past are as follows:

1. *Personal benefit* - This approach has been used successfully in the past and its applicability is valid in that while examinees do not receive a complete physical, they do get many of the tests that a regular physical examination encompasses and some that may not be included in the usual physical exam. The results of these exams are sent to the physician in all cases and the potential value to the examinee can therefore be stressed.
2. *Fear* - In many cases reluctance will be a result of fear or modesty. Most of the time, these reasons will not be admitted. The HER should explain each step of the procedure, with pictures, to show that the examination is neither painful nor embarrassing. Girls should be assured that a nurse is always present during the physical examination and that the garments cover them completely. Local newspaper publicity and the AMA approval may help to alleviate anxieties in the minds of sample persons. Only as a last resort should the HER indicate that part or parts of the examination may be eliminated. Most people cooperate fully once they are in the HEC, so HER's should try to avoid making nonparticipation in a particular test (blood drawing, for instance) a condition for being examined.
3. *Contribution to valuable research* - This can be a basis for cooperation if the SP feels that his participation does not matter or that participation is a personal imposition. Most people consider medical research a necessity and this program can be beneficial not only to his general health but to that of his children and grandchildren. Conversely, noncooperation is, in effect, a “vote” against medical research.
4. *Civic pride* - HER can point out that the stand location contributes to the national picture. Local government health and education officials want the stand to be a success and this can only be accomplished by cooperation of those selected for the sample. If possible, the HER should use the names of highly regarded individuals in the community.
5. *Sampling* - One of the most common objectives to participation is “why me?” Until the sampling procedure is in some way explained, the respondent will be able to suggest “picking someone else” or “getting someone who needs it.” A brief description of how he was selected for the HANES might proceed as follows:

Since we cannot measure everyone's health and physical characteristics in the U.S. we can do the next best thing which is to measure these characteristics for a group of people who are “representative” of all the people. For example, we want to examine people in cities and people on farms, some young and some older people of all races and income groups from each geographic region of the United States. To select a “representative” group of people was a rather complex process that gave every individual between the ages of 6 months and 74 years a chance for inclusion in the survey. The first step of the process separated the 3,000 counties and metropolitan areas in the United States into 32 categories, according to geographic region, degree of urbanization, population size, type of industry, and finally the characteristics of the people in the area. From each category 2 areas were selected at random—a process similar to selecting the winner of a raffle or a lottery. The chance selection process was not really pulling numbers out of a hat, but it was a similar process done on a computer.

Your county or city was selected and then divided into enumeration districts (similar to neighborhoods) and each district was assigned a number. A random or chance selection was made to identify which enumeration districts fell into the sample. Your district and many others did. Each cluster of housing units within each district was assigned a number. Again, a chance selection was made to identify the particular cluster of housing units to be included in the sample. For example, we needed 6 housing units from your district and the random process selected 6 numbers which identified these



housing units, yours included. Within, your household we only selected certain individuals to insure that a sufficient number of people of different ages and sex were represented in the sample.

As a sample person you have been selected to represent people of your own age and sex not only in your neighborhood and community, but in many neighborhoods and communities throughout your region. You can see how important it is that you participate in our survey so that we can have this vital information about a “representative” group of Americans. Due to the chance selection process and its properties concerning representativeness, we can only examine those persons selected by the process. If you refuse, we cannot substitute for you and the results of our survey will not be as accurate for people like yourself as we planned.

*Indirect persuasion* - Contacting individuals other than the sample person without their knowledge for purposes of persuasion is a risky area and usually a last resort in difficult cases. Unless handled with extreme discretion, this tactic can be considered offensive and an invasion of privacy. Any plans to enlist the help of nonfamily members should be discussed with the FOM.

The key to any indirect approach lies in establishing a favorable attitude toward the survey with someone who has rapport with the sample person.

1. *Employers* - A sample person may be reluctant to miss work either because he will not be paid or because his absence is a mark against him. A visit to the employer, with the SP's permission, might solve this problem, particularly if the SP is a Federal or State Government employee. The employer may also be able to persuade the SP to come in if “being absent” is not the real reason.
2. *School personnel* - A youngster may be genuinely concerned about missing classes. If Saturday or evening scheduling is not feasible, a teacher or counselor may be able to persuade the youngster to make up an assignment at a later date.
3. *Clergy* - These are especially helpful with foreign-born SP's when there is a language barrier. Clergymen have also allayed fears that the survey is in some way connected with immigration authorities in these cases.
4. *Friends and other family members* - This is especially useful if the person enlisted is a “satisfied customer” of this or a previous survey.
5. *Welfare agencies* - These may be used to explain the program to persons who are receiving aid. Social workers can assure the family that this is not a “charity examination” and is given to all economic levels. The interests of the welfare agency itself may stimulate cooperation.
6. *Community action groups* - Some contact will already have been made with local community action groups by the FOM and the HER may enlist their aid, particularly if the household is under their jurisdiction and the non-response is a matter of mistrust of the program.
7. *Physician* - If the respondent mentions that he would like to consult with his personal physician before making a commitment, the HER should not discourage the sample person from doing so; rather, agree that it is a good idea and then ask the respondent if he would be agreeable to having a survey representative contact the physician to provide him with further information about the program. The HER should then obtain the name of the physician and provide this information to the FOM as soon as possible so that he may follow-up on contacting the physician.

In this connection, HER's must always be aware that our health examination in no way takes the place of the complete medical examination which persons receive from their own physician. Avoid saying anything which might be heard as a criticism or downgrading of the sample person's own doctor. It is appropriate to explain, for example, that an allergy test and spirometry exam are included in our survey and that having these tests would be desirable if

the person has not had this opportunity in regular examinations by his own physician. However, HER's must be concerned with the way in which they word these statements lest they be misconstrued. It would be completely inappropriate if the HER said anything which might be heard as implying that the sample person had the conditions.

*Reassigning cases* - The HER who makes the first visit to a household may find that any approach attempted is met with resistance. There are any number of reasons why this could occur. The end result, however, is hostility either on the part of the respondent or the HER. When you encounter such a situation, attempt to leave before a definite "no" has been given and, if possible, pave the way for another visit. When refusals are converted by a second HER, it is important that the *second* HER write an impression of the reason for conversion.

*No shows and cancellations* - These cases are followed up as soon as possible by the original HER. In the case of a "No Show", the same day is preferable if the appropriate HER can be reached in time. Immediate followup helps to reinforce in the SP's mind the importance we place on his attendance. In many cases, the SP can be "re-persuaded" on the spot and brought into the trailers a little later than the other examinees. Persuasion is the same as for original consents but the fact that the SP has inconvenienced the survey may be used to obtain a more cooperative attitude.

## QUALITY CONTROL

HER's will be responsible for quality control of the Household Questionnaire (HES-30) and the Medical Histories (HES-31 and HES-32).

A review of the household questionnaires and the medical history questionnaires will be made by the HER's on the day before the SP's are to be examined. This check will consist of item by item review of these forms for completeness and accuracy. All errors, and/or omissions will be noted on a 3 x 5 slip of paper. If a slip is attached because of errors found in the first review of the household questionnaire, continue on that slip noting the form identification and errors. If no slip is attached, prepare one with the following information: form identification, census interviewer's name, sample person number, and errors found. The 3 x 5 slip will be attached to the front of the medical history questionnaire and sent to the HEC at the time of the SP's examination. The coordinator will get the correct or missing information from the SP's when they arrive for their examination.

The HER's will turn over household questionnaires with errors to the FMA who will ask the coordinator to get the correct information from the SP or have the SP call the FMA during a free moment during the examination. If the SP is a minor or cannot provide the information, an HER will telephone the household to obtain the information from a reliable source. All 3 x 5 slips will be initialed to indicate that the errors have been corrected. The FMA and the coordinator will be responsible for saving the 3 x 5 slips and returning them jointly to Rockville at the end of each stand.

Every attempt will be made to obtain correct or missing information on SP's who do not participate in the examination. Missing data on SP's who refuse, cancel or do not show up for the examination will be obtained at the time of the HER callback to the household. At the close of the stand, office staff will attempt to obtain missing information by telephone.

## CHAPTER VI. PURCHASING AND FINANCE

### GENERAL

Procurement of goods and services in the field may be accomplished by one of the following means:

1. Expenditure of funds from petty cash
2. Issuance of an emergency purchase order
3. Request for purchase order from headquarters against which the vendor may bill

### PETTY CASH

Each FMA maintains a cashier's fund of \$7,500 and is designated "agent cashier." Ordinarily, only agent cashiers may administer the fund. The FOM's and the coordinator's in the HEC are designated "alternate cashiers" and may, if the need arises, administer the fund in the absence or illness of the agent cashier. Cash, checks, subvouchers, and receipts are to be kept at all time in the office safe provided for each agent cashier. If an office safe is not available, these items should be kept in the safe located in the HEC. Failure to comply may mean that the cashier may be held personally responsible for any loss.

1. *Authorized expenditures* - The maximum amount for any single expenditure is \$100.00. All expenditures must be authorized in advance by the FOM.
2. *Kinds of cash expenditures* - The petty cash fund is available to pay (a) sample persons who come in for the examination at \$10.00 each; (b) examinees who drive their own cars to and from the examination center at \$0.12 a mile; (c) locally hired help such as part time HERs, housekeepers, laborers, and office people; and (d) for emergency supplies and equipment purchased locally.
3. *Payment of Sample Persons.* - The FMA will issue to the coordinator daily (in separate envelopes) enough money to cover examinees for that day. The coordinator will verify the amount of money received, sign an interim receipt for the total amount and place all monies in the safe and lock it. At the time of payment the coordinator will make out a cash receipt as follows: "1 Health Examination - \$10.00", enter the name and date, and get the examinee (or other person indicated on the daily appointment schedule) to sign his full name and address. Receipts of payment for the examination should always bear the name of the examinee especially when the payee is someone other than the examinee, i.e., a parent or guardian. When the name does not appear and the payee signs two or three receipts, the auditors are apt to conclude that we are paying one person more than once. Signed cash receipts and any unused money (for broken appointments) will be turned over to the FMA the same day in return for the interim receipt. When this is not feasible, i.e., night examinations, the coordinator should place receipts and unused money in the safe and turn them in the next day.

4. *Receipts* - In addition to the cash receipts for the examination itself, all other expenditures from the fund must be supported by a receipt indicating the cost, date, items or service purchased, name and address of vendor, and the full signature of the vendor or his representative. In the case of local employment, the agent cashier will prepare a receipt indicating the period of employment, the number of hours worked, the rate per hour, and the total cost. This receipt should then be signed by the employee prior to payment.
5. *Advance of funds* - In addition to the daily advance of funds to the coordinator for payment of examinees, there are a few instances when the agent cashier may advance a sum of money to an alternate cashier on which he may draw to pay for certain expenditures. For example, the coordinator may wish to have a lump sum of money for periodic SP mileage, and to pay for items delivered to the HEC. Or the FOM may need a sum of money to pay laborers on occasions when the agent cashier leaves the stand prior to its close. When money is advanced, the agent cashier should get a signed interim receipt prior to releasing funds. The alternate then becomes responsible for these advanced funds until the interim receipt is redeemed with signed receipts for actual purchases.
6. *Auditing the fund* - The agent cashier is responsible for examining and numbering all receipts and posting them in the miscellaneous expenditures log each day. On or about the 15th of each month, the agent cashier is to reconcile the fund by an actual audit, i.e., totaling the signed receipts, interim receipts, cash, and checks on hand. This must be verified and signed by a staff member who is not a cashier or alternate. This will help guard against discrepancies.
7. *Replenishing the fund* - When expenditures for payment of examinees total \$500 to \$600, the agent cashier should prepare a Reimbursement Voucher (SF-1129). When other expenditures reach \$200 to \$250, the cashier should prepare a separate Reimbursement Voucher. The original and four copies of the SF-1129 should be forwarded to headquarters by registered mail, accompanied by the miscellaneous expenditures log, and receipts for all transactions listed.
8. *Accountability report* - The agent cashier must submit an accountability report on SF-1129 direct to Treasury at the end of each month showing the status of the fund.
9. *Audit by Treasury* - Treasury Department representatives or HRA personnel designated by the Treasury Department have the authority to audit the cashiers fund without advance notice. Agent cashiers should administer the fund accordingly.
10. *Safeguarding fund in transit* - Between stands when the fund is hand carried by the cashier, every effort should be made to keep the amount of cash to a minimum. Checks, receipts and cash should be kept in a locked briefcase and placed in hotel and motel safes when in transit.

## EMERGENCY PURCHASE ORDERS

Emergency Purchase Orders (SF-44) are to be used only in emergency situations, i.e., when the cost of service or item is over \$100.00 and time will not permit the request of a regular purchase order from headquarters. Emergency Purchase Orders may be written for amounts up to \$2,500 per transaction. However, any amount over \$600 should be cleared with headquarters in advance. Only the FOM may use this authority.

The SF-44 is generally self-explanatory. All information should be typed or printed legibly and the FOM should sign it only after goods or services have been received. Once the vendor signs, give him the blue (seller's) copy and forward the remaining copies to headquarters. The vendor should not submit a bill. In the event the vendor prefers not to sign the SF-44 (or is unable to because of distance) an invoice with the above statement typed on it and all copies of the SF-44 with the FOM's

signature may be forwarded to headquarters for payment. Payment is usually made within 4 to 6 weeks. Each transaction should be recorded in the space provided inside the back cover of the book of SF-44's.

## **REQUEST FOR PURCHASE ORDER FROM HEADQUARTERS**

This is the usual method by which the Government purchases goods and services. In the field, this form of payment must be used for any transaction amounting to more than \$2,500. The FOM should obtain an estimate of the cost in writing from the vendor and forward this to headquarters. Headquarters will obtain a purchase order number (usually within 3 days) which may be given to the vendor verbally. Once the goods or services have been rendered satisfactorily, the FOM will advise the vendor to send an itemized bill to the Financial Management Officer, National Center for Health Statistics, quoting the purchase order number.

## CHAPTER VII. PUBLICITY

### PRINTED PUBLICITY ITEMS

*General* - There are several stages to be followed and several methods of preparing the general public, civic officials connected with health and education departments in the area, and the news media for the conduct of the Health Examination Survey at each location.

*Advance letters* - About 8 weeks before the stand begins, the headquarters office sends letters explaining the program to State and local health officers, the State education official, State and county medical societies, and the State and county osteopathic society. These letters are sent to assist the FOM in making advance arrangements.

*Protective letters* - These letters are sent from headquarters about 2 weeks before the stand begins, and are directed to the people in the preceding paragraph to inform them of the actual dates of the operation and the location of the office and Health Examination Center. In addition, mayors, law enforcement officials, Chambers of Commerce, as well as individuals listed by the advance FOM, receive this or similar letters.

*Census notification* - About 1 week prior to the start of the stand, the Census Bureau mails a letter to each household in the sample informing each family that the Bureau of the Census is conducting a health survey for the Public Health Service and that a Census interviewer will be calling on them within the next 2 weeks.

*Newspapers* - A press release is sent from headquarters to newspapers in the area to coincide with the start of Census interviewing. The FOM should check the papers for any articles printed about the survey; one copy should be forwarded to headquarters and a copy should be given to each HER for use in making callbacks.

Frequently, newspapers will want to do a feature story with pictures. In these cases, the FOM will be contacted to elaborate on the press release already received. He should limit himself to answering the reporter's questions.

Under no circumstances may pictures be taken of any examinee because this violates our promise of confidentiality. Sometimes, a newspaper will be satisfied with a picture of some of the staff posed outside the trailers. If pictures of the examination itself are required, the FOM should suggest that the newspaper provide a suitable subject. If this cannot be done, the "dry runs" are a possible source as are staff members, health and school officials, contractors, or other local acquaintances. Regardless of who provides the subject, the FOM must get a signed release indicating that the picture may be used for publicity purposes.

### MISCELLANEOUS PUBLICITY

*Other news media* - There have been occasions when radio and television stations have requested that staff members appear on programs to talk about the survey. Such appearances should be cleared with headquarters beforehand.

*Personal appearance* - Personal dress in the examination setting should always be equal to what most people have come to expect when they visit a physician, dentist, clinic or hospital, i.e., uniform or laboratory coat. For those persons who visit the selected households and make contacts with Government, health, education and other civic officials, the initial impression should be one that reflects the professionalism and competence of the individuals as well as the organization, i.e., no far out dress.

*Employee conduct* - In addition to the letters and newspaper coverage, each staff member is a walking advertisement for the survey. Unlike most other Government employees whose time is their own after work hours, the survey staff are on display to the local citizens both on duty and off. Their actions must be above reproach at all times since any untoward behavior could adversely affect community attitude and response to the survey. Proper comportment, on the other hand, is the best way to win the confidence and support of the community.

In the examination setting, discussions of examinees by members of the staff for better understanding of an individual should be done discreetly, preferably in the staff room with the door closed. Similarly in the field management office, particularly when this is a public building with other offices nearby, discussion of cases should be conducted with complete privacy. Under no circumstances should any staff member discuss examinees or their families in public where the conversation might be overheard and misinterpreted.

Regardless of the size of the community, the field staff tend to be identified as the "survey group" or the "public health group," not only in their contacts with examinees and families but also with proprietors and personnel of hotels, motels, restaurants, banks, gas stations, laundries, etc. In our dealings with these people, it is well to remember that individual behavior, good or bad, reflects on the survey, on the Public Health Service, and on the Government in general.

## CHAPTER VIII. REPORTS

*Time and leave report* - Individual time records are kept in a notebook in a prominent place in the office and in the HEC for use by staff members in signing in and out daily. On the Saturday before payday (i.e., in the middle of the pay period), the FOM will total the hours for all staff members and submit this report to headquarters. The FOM should use the footnotes on page 2 of the report to indicate variations in the work schedule such as annual or sick leave, travel performed on work days, standby status, etc.

*FOM stand report* - Within 4 weeks of the closing date of the stand, the FOM is required to submit a report covering the following points:

1. *Field staff* - List all PHS staff members, Census supervisor and personnel, and visitors to the stand.
2. *Census operation* - Include quality of training, progress of interviewing, etc.
3. *Sample considerations* - Special characteristics of sample, size, geography, etc.
4. *Equipment, space* - Include adequacy of office and trailer space, trailer set up, equipment maintenance and repair, etc.
5. *School contacts* - Indicate difficulties encountered, if any, ease in obtaining release of children from school, etc.
6. *Publicity* - Amount and type of coverage, any special problems.
7. *Examinations* - Set up, inventory, training, dry runs, and variations and/or occurrences in the examination schedule.
8. *HER callbacks* - Names of HER's date each began callbacks, problems encountered, persuasion, ease of scheduling, no shows, cancellations, etc.
9. *Unexamined* - Give the number of unexamined sample persons with six or seven of the main reasons for refusal.

Since the report will be done after he has left the area, the FOM should keep a daily log covering these points so that he will not have to trust his memory.

*Inventory report* - On staff setup day, the examining staff are required to take separate inventories of existing supplies and of new supplies received. The coordinator is responsible for consolidating the reports of staff members and submitting a total inventory to headquarters on a specially designed form. This report is the basis for the amount and kind of supplies shipped from headquarters to the next stand.